



STATE OF ARIZONA  
DEPARTMENT OF REAL ESTATE

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Business Services at 602.468.1414 ext. 101, or [IADA@re.state.az.us](mailto:IADA@re.state.az.us), to make their needs known

(NO APPLICATIONS ACCEPTED BY EMAIL)

APPLICATION FORM LI-212  
LIMITED LIABILITY COMPANY / CORPORATION OR  
PARTNERSHIP ENTITY BROKER'S LICENSE  
(NO FEE REQUIRED)

Entity License No. \_\_\_\_\_  
Effective Date \_\_\_\_\_  
Expiration \_\_\_\_\_  
Date Entered \_\_\_\_\_ By \_\_\_\_\_  
TF 1 \_\_\_\_\_ TF 2 \_\_\_\_\_

ENTITY BROKER INFORMATION:

Type of Entity: ☐ Limited Liability Company >>>> ☐ Membership Controlled ☐ Management Controlled  
☐ Corporation ☐ Partnership

Is there an Operating Agreement? ☐ NO ☐ YES (provide copies)

Legal Name of Entity: \_\_\_\_\_

DBA Name of Entity: \_\_\_\_\_

Business Address: \_\_\_\_\_  
(Street, Suite, City, State, Zip)

Mailing Address (if different from business): \_\_\_\_\_  
(Street, Suite, City, State, Zip)

Business telephone No: ( ) \_\_\_\_\_ Business Fax No.: ( ) \_\_\_\_\_

Print legal name of Designated Broker: \_\_\_\_\_

License No: \_\_\_\_\_ License Expiration Date: \_\_\_\_\_

Federal Tax Id. Number: \_\_\_\_\_

☐ Trust Account ☐ Title Company

Trust Account Information:

Account Name: \_\_\_\_\_

Bank Name: \_\_\_\_\_ Account Number: \_\_\_\_\_

Bank Address: \_\_\_\_\_  
(Street, City, State, Zip)

A.A.C. R4-28-303 (E): If there is a change in any of the facts submitted in this application after a license has been issued, the Designated Broker must notify the Department within 10 days of the change and provide the documentation and information and appropriate fees as required on Form LI-201.

ALL DOCUMENTS SHALL BE CONSIDERED FILED ON THE DATE RECEIVED BY THE DEPARTMENT PURSUANT TO A.A.C. R4-28-102(A)

## FORM LI-212 CHECKLIST

### Provide the following documents:

- ☐ Completed Entity License Form LI-212.
- ☐ Form LI-201 signed by the designated broker and \$10.00.
- ☐ Original Licensure Questionnaire Form LI-214 (if you answered yes, provide documents listed on the Document Checklist Form LI-400.
- ☐ An affidavit (SUBSCRIBED AND SWORN BEFORE A NOTARY PUBLIC) by the designated broker stating that;
  - a. The limited liability company, corporation or partnership has applied for a broker's license in Arizona;
  - b. Each member or manager, officer and director or partner has read the complete application on the named corporation as submitted to the Department;
  - c. All the information contained in the application is true;
  - d. Each member and manager, officer and director or partner is qualified to do business in Arizona.
  - e. The name of the limited liability company, corporation or partnership complies with A.R.S. § 29-245 and 4 A.A.C. 28, Article 10, and is not likely to be misleading or confusing.
- ☐ Any other information required by the Department to verify the applicant's qualifications.

### FOR A LIMITED LIABILITY COMPANY:

- ☐ A copy of the Articles of Organization and any amendments stamped "Received and Filed" by the Arizona Corporation Commission; a copy of the operating agreement and any amendments.
- ☐ A Company resolution signed by all members stating whether management of the limited liability company is established as manager-controlled or member-controlled and the name of the member or manager appointed to act as designated broker.
- ☐ The name and address of each member and manager, and the name and address of any person controlling or holding more than 10% of the membership interest in the limited liability company.

### FOR A CORPORATION:

- ☐ A copy of the Articles of Incorporation and any amendments stamped "Received and Filed" by the Arizona Corporation Commission. If it has been more than 1 year since corporation was filed, a Certificate of Good Standing from the Arizona Corporation Commission is required.
- ☐ A corporate resolution stating that the designated broker was elected or appointed as corporate officer, naming the office held, and stating the individual was appointed to act as designated broker for the corporation.
- ☐ The name and address of each officer and director, and the name and address of each shareholder controlling or holding more than 10% of the issued and outstanding common shares, or 10% of any other proprietary, beneficial, or membership interest in the corporation.

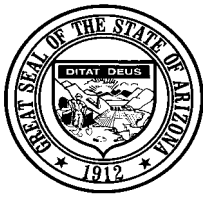
### FOR A PARTNERSHIP:

- ☐ A copy of the Partnership Agreement and any amendments.
- ☐ A copy of the registration application stamped "Received and Filed" by the Secretary of State if a limited partnership.
- ☐ An agreement signed by all partners, stating name of partner appointed to act as designated broker;
  - a. If the general partner is a partnership, the DB is an individual who is a partner of the general partner
  - b. If the general partner is a corporation, the DB is an individual who is a corporate officer of the corporate partner;
  - c. If the general partner is a limited liability company, the DB is an individual who is a member or manager of the limited liability company;
  - d. A limited partner is not eligible to be a designed broker for the partnership.
- ☐ The name and address of each partner, and the name of any other person with a beneficial or membership interest in the partnership.
- ☐ For a foreign limited liability company or corporation, submit a stamped "Filed" copy of the Articles and any amendments from the state of origin. The "Filed" copy of the Application of Authority from the Arizona Corporation Commission.

#### **IMPORTANT NOTE:**

This is notification of one or more deficiencies in your application. Please correct or submit the deficiencies by the deadline noted or your application will be deemed incomplete and the file closed. The Department must grant or deny a license within a specific period of time once an application is complete. An applicant also has a specific period of time in which to correct any identified deficiency. If you do not provide or correct the identified item(s), or provide the additional information as requested, the application shall be deemed "incomplete" or "withdrawn" and the file closed. If you later wish to apply for a license, you must submit a new application, including applicable fees. R4-28-103. If the Department does not grant or deny a license *based on a completed application* within the allowed time period, the application fee is refunded to the applicant. A.R.S. § 41-1073 et seq.

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## ARIZONA DEPARTMENT OF REAL ESTATE

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### ARIZONA REAL ESTATE DEPARTMENT ORIGINAL LICENSE APPLICATION FORM LI-214 QUESTIONS & CERTIFICATION OF ANSWERS

The following questions are being asked in order to determine your qualifications and suitability to hold an Arizona Real Estate License, a Cemetery License, or a Membership Camping License as established by Arizona State Law, as set out in the Arizona Revised Statutes at Title 32, Chapter 20 and at Title 4 (Arizona Administrative Code), Chapter 28.(1.)

You must answer these questions and submit them, together with your Application for an Original Arizona Real Estate License, to the Arizona Department of Real Estate ("Department"). If you do not answer **EVERY** question, your Application will be considered incomplete and it will be returned to you unprocessed.

Be certain you understand the questions and that your answers are correct. Failure to answer these questions truthfully may result in disciplinary action including, but not limited to, suspension or revocation. (2.) In addition, you may be subject to a civil penalty.(3.)

If you answer "yes" to any question, please provide a signed, detailed statement describing the facts and circumstances, including the date, time and location of the incident or event. You must also provide the documents identified on the Document Checklist, Arizona Department of Real Estate Form #LI-400, available from the Department offices or on its web page: [www.re.state.az.us](http://www.re.state.az.us) for the type of incident, offense, crime, judgment, or other action. You may include exculpatory or mitigating information, any evidence of rehabilitation, and any appropriate statement of remorse and acceptance of responsibility for the prior conduct.

#### SECTION A: relating to professional licenses , business practices & civil records

1. Have you ever held or applied for an Arizona Real Estate License of any kind in the past? ☐ Yes ☐ No

*If the answer is "Yes," give the name under which you were licensed, and tell us the year in which you originally applied.*  
**Please use separate page**

2. In the past five (5) years, have you been licensed as a salesperson or broker in any state **other than** Arizona? ☐ Yes ☐ No

**If the answer is "Yes," submit a complete license history signed by the licensing agency of the state(s) in which you are now, or were, licensed. Please use a separate page.**

3. In the past 10 years, have you:

- a.) had a professional or occupational license or registration of any kind denied, suspended, restricted, or revoked;  
or ☐ Yes ☐ No
- b.) had an administrative order or any other disciplinary action taken against any license issued to you by any local, state, or federal regulatory agency;  
or ☐ Yes ☐ No
- c.) voluntarily surrendered any license during the course of an investigation or disciplinary proceeding? ☐ Yes ☐ No

4. In the past 10 years, have you entered into any consent decree, or had an injunction (either temporary or permanent), a suspension, an order, or a judgment issued which prohibited or restricted you from engaging in any profession or occupation? ☐ Yes ☐ No

5. In the past 10 years, have you had any judgment or order entered against you by any court involving fraud, dishonesty, misrepresentation, unfair trade practice, or moral turpitude? ☐ Yes ☐ No

6. In the past 10 years, have you had any judgment or order entered against you by any court arising out of the conduct of any business

in real estate, cemetery property, time-shared intervals, or membership campgrounds? ☐ Yes ☐ No

- 1) A.R.S. § 2123 (B) (4) (4), (5), & (6); and 32-2188; A.C.C. R4-28-301
- 2) A.R.S. § 32-2153 (B) (1).
- 3) A.R.S. § 32-2160.01.

7. In the past 10 years, have you had any Subdivision Public Report or Registration to Sell real estate, time-shares, cemetery lots, or campground memberships denied or suspended? ☐ Yes ☐ No

8. Are there any disciplinary hearings, or other administrative actions pending against ANY professional or occupational licenses you hold in Arizona or in any other state? ☐ Yes ☐ No

9. Has any real estate recovery fund, or similar fund, ever made a payment that was charged against you or against a business for which you were the qualifying party? ☐ Yes ☐ No

10. Have you ever exercised control or held ownership interest in ten percent or more in any business, corporation, partnership, or limited liability company that holds or has held a license issued by the Arizona Department of Real Estate? ***The term "license" means the whole or part of any agency permit, certificate, approval, Registration, public report, charter or similar form of permission required from the Department. If your answer is "yes," list all of these businesses and your affiliation with each of them on a separate page.*** ☐ Yes ☐ No

11. Would any of the businesses listed in answer to question #10 have to answer "Yes" to questions #1 through #9? ☐ Yes ☐ No

***If your answer is "Yes", list all of these businesses and your affiliation with each of them on a separate page, and identify which question would require a "yes" answer.***

**SECTION B:** relating to good character and prior criminal records

**IMPORTANT NOTE: Please read this carefully**

You must disclose a conviction even if it was a result of a plea agreement or a plea of nolo contendere (no contest). You must disclose all convictions whether or not the plea or verdict was set aside, judgment or sentencing was deferred, the conviction against you was dismissed or expunged, or if you have been pardoned.

If you answer "yes" to any question, please provide a signed, detailed statement describing the facts and circumstances, including the date, time and location of the incident or event. You must also provide the documents identified on the Document Checklist, Arizona Department of Real Estate Form #LI-400, available from the Department offices or on its web page: [www.re.state.az.us](http://www.re.state.az.us) for the type of incident, offense, crime, judgment, or other action. You may include exculpatory or mitigating information, any evidence of rehabilitation, and any appropriate statement of remorse and acceptance of responsibility for the prior conduct.

1. Have you ever been convicted of any **felony** in Arizona or any other state? ☐ Yes ☐ No

2. In the past 10 years, have you been convicted of any **misdemeanor** in Arizona or any other state? ☐ Yes ☐ No

***Note: You do not need to report minor traffic citations, which do not constitute a misdemeanor or felony offense. Conviction of D.U.I is not a minor traffic citation and must be reported.***

3. Are you currently in a deferred period or a diversion program, having been convicted of a Class 6 undesignated offense, which has not yet been designated as a felony or misdemeanor to date of this application. ☐ Yes ☐ No

4. Are you currently incarcerated, paroled, or on probation because of any conviction? ☐ Yes ☐ No

**CERTIFICATION OF ANSWERS**

I Certify under penalty of perjury, under the laws of the State of Arizona, that the foregoing answers and statements given in this application are true and correct. I certify that at the time of the issuance of license I will be 18 years of age or older. I certify that if licensed I will not violate any provisions of the Real Estate Law nor abuse the privileges of a license.

\_\_\_\_\_  
**Printed Name of Applicant**

\_\_\_\_\_  
**Signature of Applicant**

\_\_\_\_\_  
**Date**

Upon approval of the application, a certification of licensure will be issued and mailed to your employing broker if you are actively licensed. The Department does not issue certificates of licensure to inactive status licensees.